
EXHIBIT B
DRAFT PROCEDURES AND REQUIREMENTS
Used Oil Opportunity Grant for Fiscal Year (FY) 2003 – 2004 (7th Cycle)

Copies of these Procedures and Requirements should be shared with BOTH the Finance Department AND the staff responsible for implementing the grant activities.

Important Dates (Subject to change)	December 1, 2003 April 1, 2005 March 31, 2006 May 1, 2006	Grant Term Begins Mid-Term Report Due Grant Term Ends Final Report and Payment Request Due
Questions?	All communication regarding this grant should be directed to your Grant Manager. To find the name and telephone number of your Grant Manager, refer to www.ciwmb.ca.gov/HHW/Grants/Contacts.htm . You may also call the main Used Oil number at (916) 341-6457.	
Where to send Reports, Payment Requests, etc.	Send your Reports, Payment Requests, and all other written correspondence to your Grant Manager's attention at: California Integrated Waste Management Board Special Waste Division Used Oil and HHW Branch – MS #21 P.O. Box 4025, 1001 "I" Street Sacramento, CA 95812-4025 Attn: (your Grant Manager's name)	

Payment Request

The Grant Manager shall authorize payment upon approval of a complete and accurate Payment Request and, where applicable, approval of all required reports.

Forms for a Payment Request

All forms can be downloaded from the California Integrated Waste Management Board's (CIWMB) website at www.ciwmb.ca.gov/HHW/Forms/, or contact your Grant Manager.

Required Documents and Format for Payment Request

A complete Payment Request must include the following items in the order listed.

- 1. Payment Request Form (CIWMB 87)** – This form must be signed by the individual authorized by the resolution. Please remember to type or print the individual's name and title below the signature.
- 2. Expenditure Itemization Summary (CIWMB 667)** - All expenditures must be itemized and arranged by the Reporting and Expenditure Categories for your Grant as it was approved.
- 3. Supporting Documentation** – Submit documentation for all expenditures claimed on the Payment Request. Types of acceptable documentation include:
 - a) **Invoices** should include vendor's name, telephone number and address; a description of goods or services purchased; amount due; and date.
 - b) **Receipts** should include the same information as invoices.
 - c) **Purchase orders** with proof of payment should include the same information as invoices and must be accompanied by proof of payment (e.g., copies of cancelled checks).
 - d) **Personnel Expenditure Summary Form** should document actual time spent on grant related activities. (*NOTE: These forms are not required if you have an alternate time reporting method pre-approved in writing by your Grant Manager.*)
 - e) **Travel Expense Form** should document costs related to travel and include supporting documentation.
- 4. General Checklist of Business Permits, Licenses, and Filings Form (CIWMB 669)** – Must be completed and signed by the individual authorized in the resolution.

Ten Percent Withhold

Ten percent (10%) will be withheld from each Payment Request and paid at the end of the grant term, when all reports and conditions stipulated in the Grant Agreement have been satisfactorily completed.

Advances

A payment advance may be requested for expenditures identified in the approved Budget Itemization. The request shall include a Payment Request Form (CIWMB 87) and a letter of justification signed by the individual authorized in the resolution. The letter must explain why the advance is necessary for the achievement of grant objectives, what the funds will be spent on and when the funds will be expended. Justification for an advance must be related to factors not under the control of the Grantee and/or which could not have been avoided.

A withholding of ten percent (10%) will be applied to each advance payment request.

Approval of the subsequent Payment Request, either advance or reimbursement, will not be given until the previous advance has been fully reconciled. Any outstanding issues regarding advances must be resolved before the closure of the Grant, or a refund to the CIWMB will be necessary.

Advance payments held beyond ninety (90) days must be deposited in an interest bearing account with a fully insured financial institution. **All interest accrued and received from this account must be tracked, and used only for eligible expenses related to this Grant, as pre-approved by your Grant Manager.** Any unused interest must be paid to the CIWMB at the end of the Grant term.

On the rare occasion when the Grantee must provide advance funds to its contractor, the Grantee is still responsible for reporting all accrued interest. Be sure your contractor tracks the accrued interest. The Grantee must report all accrued interest in the Final Report.

Good Received and
Services Rendered

Goods and services **must be paid for and received within** the term of the Grant Agreement (December 1, 2003 – March 31, 2006). Proof of delivery is required.

Mid-Term Progress
Report:
Due April 1, 2005

The Mid-Term Progress Report covers activities from December 1, 2003 through February 28, 2005, and includes:

1. The Grant number, Grantee's name, and reporting period.
2. A description of work completed, arranged by the Reporting and Expenditure Categories as shown in your Work Plan. Include as an overall summary, or in each section, responses to the following questions as applicable:
 - a) What are the unique or new activities/technology?
 - b) What were the successes (so far) in relation to goals and objectives?
 - c) What problems/challenges were discovered during implementation?
 - d) How did you resolve them?
 - e) What "best practices" might be shared with other jurisdictions?
3. A brief discussion of work to be conducted during the remainder of the grant term. If necessary, discuss any adjustments to the Work Plan resulting from your process evaluation. Your Grant Manager must give written pre-approval for any changes to the Work Plan or Budget.
4. One (1) original copy of each premium item (e.g., rulers) and two (2) original copies of all final printed publicity and education materials (e.g., ads, brochures, etc.) produced during the reporting period. If the item is large (e.g., container, or any item that cannot fit into a legal dimension archive box), submit two (2) photographs of the item from different angles.

Final Progress Report:
Due May 1, 2006

The Final Progress Report covers activities from December 1, 2003 through March 31, 2006, summarizes the entire grant, and includes:

1. The Grant number, Grantee's name, and Grant term.
2. Description of activities that were undertaken, continued, and completed during the entire Grant term. (For activities previously reported on the Mid-Term Progress Report, a summary is acceptable.) Activities must be arranged by the categories shown in your approved Work Plan.

3. Summary of results, as applicable to your Work Plan:

For Permanent and Temporary/Mobile Collection Facilities:

- a) Number of participants at each facility during the grant term.
- b) Number of new collection sites established for marinas, agricultural sources and underserved areas.
- c) Amount of used oil in gallons, number of used oil filters¹ and/or the number of plastic oil bottles collected at each facility during the grant term.
- d) Number of days and hours of operation during the grant term.
- e) Explanation as to why one facility may be more effective than the other.

For Residential Collection Programs:

- a) Number of curbside/door-to-door stops during the grant term, **or** number of households served by curbside collection (if number of stops are not tracked) during the grant term.
- b) Amount of used oil in gallons, number of used oil filters¹ and/or the number of plastic oil bottles collected during the grant term.

For Stormwater Mitigation Programs:

- a) Number of storm drain inlet filter devices installed and/or serviced at commercial sites.
- b) Square footage of commercial sites cleaned of surface oil.
- c) Number of storm drains stenciled or permanent markers affixed.
- d) Publicity and Educational materials developed and distributed during the Grant term.
- e) Any other stormwater related activities or items purchased during the Grant term.

For Publicity and Education (P&E) efforts:

- a) Description of target audience.
- b) Number of community events attended during the Grant term and number of people stopping at your booth.
- c) Number of school presentations conducted during the Grant term and number of students participating.
- d) Materials developed (e.g., door hangers, billboards) and number distributed (include distribution method) during the Grant term.
- e) Total estimated number of people reached through P&E efforts.
- f) Explanation as to which event and/or publicity strategy was most effective in reaching the target audience and leading to the desired behavior change.
- g) Number of promotional activities that utilized Community-Based Social Marketing (CBSM), as opposed to traditional marketing.
- h) Number of certified collection centers, marinas, off-highway vehicle supply stores, agricultural and airport oil distributors that began stocking re-refined oil during the Grant term.

¹ Conversion factor for used oil filters: 1 used oil filter=1.5 pounds, 55-gallon drum=250 uncrushed used oil filters or 750 crushed used oil filters

For Load Checking Programs:

- a) Frequency of inspections during grant term.
- b) Number of vehicles inspected through the program during scheduled operation during the grant term.
- c) Amount of used oil in gallons and number of used oil filters¹ collected during the grant term.

4. Evaluation of program outcome during the grant term.

- a) Did you see a decrease in illegal dumping incidents?
- b) Did the amount of used oil and/or used oil filters collected increase?
- c) What statistical tests or questionnaires were used to evaluate project effectiveness? (Include samples and related reports.)
- d) What are the unique or new activities?
- e) What were the successes in relation to goals and objectives?
- f) What problems/challenges emerged during implementation? How did you resolve them?
- g) If you had the program to design all over again, what would you do differently?
- h) What "best practices" might be shared with other jurisdictions?

For more on evaluation, see www.ciwmb.ca.gov/UsedOil/EvalGuide/.

5. Samples of Premiums and Printed Material

- a) An original copy of each premium item not previously submitted.
- b) A floppy disk or CD-rom that includes camera-ready graphic art files(s) used to create **each item** developed during the Grant term.
- c) Contractor information including name, address, phone number, and product reference number or ordering information for **each item** developed during Grant term.
- d) Two (2) original copies of all final printed publicity and education materials not previously submitted. For large items such as equipment or structures, please submit two (2) photographs from different angles.
- e) A photograph of each event attended or conducted (if not previously submitted.)

6. Samples of Video and Radio Ads

- a) A final copy of each video or radio ad (if not previously submitted) in the appropriate media format (VHS format for videos and cassette tape or compact disc for radio ads).
- b) A list of all contractors, subcontractors, and vendors that were used to develop **all multimedia developed during the Grant term** including a contact name, address, phone number, and brief statement of work.

7. Work products, equipment, structure, events, etc. that were produced, purchased or conducted (unless previously submitted.)

8. List of all contractors, subcontractors and vendors that were used (unless previously submitted.) For each, include a name, address, phone number, and a brief statement of work.

Requirements for
Publicity and
Education Items

9. A completed and signed **Recycled-Content Certification Form** for all items purchased with Grant funds. (CIWMB 74G).

Premiums must be appropriate for the target audience, must be durable, and not likely to be disposed of in a short time nor contribute to the waste stream or hazardous waste stream (e.g., any item containing batteries, mercury, etc.)

Materials or items purchased without your Grant Manager's written pre-approval may be denied for reimbursement.

All items/materials, as appropriate, must meet the recycled-content product content requirements as set forth in the Terms and Conditions, and must include the following:

- Acknowledgement of the CIWMB funding that reads "Funded by a Grant from the California Integrated Waste Management Board." ² Use of the initials "CIWMB" is not sufficient. Exception: The acknowledgement line is not required on small items where space constraints would not allow for this line, or if it would interfere with the message (pencils, radio spots, etc.). All exceptions must be pre-approved in writing by your Grant Manager.
- Specific information on used oil/filter recycling/disposal.
- A list of used oil collection centers within the targeted community or a telephone number to call for information on local collection centers. When locations are listed, include the following language: "Call for hours of operation."
- The "Used Oil Drop" logo with the words "Recycle Used Oil" or "Recycle Used Oil and Filters" as appropriate. (Camera-ready art and color specifications are available free from the CIWMB. Used oil graphics are also available on the CIWMB's website at: www.ciwmb.ca.gov/UsedOil/graphics/default.htm#usedoil.) Use the State colors (blue oil drop on yellow background) on any material produced in four or more colors. The color designation for professional printing is Yale Blue-pantone 286C; Golden Yellow-pantone 123C.)

For information on minimum recycled-content products, see www.ciwmb.ca.gov/BuyRecycled/StateAgency/Buying.

For audit purposes, Grantees are required to retain samples of all publicity and education materials up to three years AFTER the close of the Grant term.

Obtaining Approval for
Print Materials and
Publicity

Submit copies of all draft publicity and/or print materials to the Grant Manager for review and written approval prior to final production and use of the materials.

Allow a minimum of five (5) business days for your Grant Manager to review and provide written approval for materials. For all languages other than English, you must work with a certified translator or person fluent in reading and writing that language before submitting the material. Please describe the translator's qualifications and send a copy of the material in English along with your request. Your Grant Manager will review these materials for graphics and formatting issues (e.g., inclusion of the Used Oil Drop logo, CIWMB acknowledgement line, etc.) but will not serve as language expert of non-English items/materials.

² There are only two acceptable Spanish translations: "Financiado por una beca del California Integrated Waste Management Board" or "Patrocinado por fondos del California Integrated Waste Management Board."

Obtaining Approval For Multi-media Materials and Publicity	<p>If a consultant or graphic artist is submitting material directly to your Grant Manager for approval, approval from the Grantee must also be submitted with the material.</p> <p>Materials previously approved under prior grant cycles must be reviewed by your Grant Manager to determine if the material is appropriate for this Grant. Approval must be in writing.</p> <p>If changes are requested by your Grant Manager, incorporate them and submit a revised draft for written approval prior to production.</p> <p>In addition to the above requirements for PRINT materials,</p> <ul style="list-style-type: none"> • Submit the script for audio or video announcements to your Grant Manager for written approval PRIOR to proceeding with production. • Submit a final draft in the appropriate media format (VHS for videos and television and compact disc for radio) to your Grant Manager for written approval PRIOR to production.
Exceptions and Audit Considerations	<p>Exceptions to the provisions of the Grant Agreement may be considered on a case-by-case basis.</p> <p>Requests must be submitted in writing, and approved in writing, by your Grant Manager. The Grantee is responsible for retaining documentation of any exceptions to the Grant Agreement for audit purposes.</p> <p>This grant is subject to audit for at least three years from its conclusion. Documentation and a clear audit trail are essential to grant management. <i>Examples of audit documentation include, but are not limited to, expenditure ledger, payroll register entries, time sheets, personnel expenditure summary form, travel expense log, paid warrants, contracts and change orders, invoices and/or canceled checks. See the Terms and Conditions for more information.</i></p>